

<p align="center">U.S. DEPARTMENT OF ENERGY</p> <p align="center">NATIONAL TRANSPORTATION PROGRAM, ALBUQUERQUE</p> <p align="center">Standard Operating Procedure</p>			
<p>Title: Requirements for NTP-A, DOE, Contractor Program Lead, and/or Contractor Transportation Personnel to Conduct the Onsite Motor Carrier Evaluation Process</p>			
<p>Procedure No:</p> <p align="center">NTP-A-MCEP.002</p>	<p>Revision No:</p> <p align="center">0</p>	<p>Date:</p> <p align="center">June 2001</p>	<p>Page:</p> <p align="center">Page 1 of 41</p>

1. PURPOSE

This procedure specifies a consistent approach to performing Stage 2 Onsite Evaluation activities in compliance with the requirements identified in the Motor Carrier Evaluation Program (MCEP) Management and Methodology Plans.

2. SCOPE

This procedure applies to the U.S. Department of Energy's (DOE) National Transportation Program-Albuquerque (NTP-A), DOE, Contractor Program Manager, Contractor Program Lead, and/or contractor transportation personnel performing onsite evaluation activities as identified in the MCEP Management and Methodology Plans.

3. REQUIREMENTS, REFERENCES, ACRONYMS, AND DEFINITIONS

3.1 Requirements

- a. National Transportation Program *Motor Carrier Evaluation Program (MCEP) Management Plan*.
- b. DOE Order 460.2, Change 1, "Departmental Materials Transportation and Packaging Management," September 27, 1995.
- c. DOE Order 460.2, Change 1, "Contractor Requirements Document," September 27, 1995.
- d. DOE G-460.2-1, "Implementation Guide for Use With DOE Order 460.2," November 15, 1995.
- e. DOE Order 200.1, "Information Management Program," September 30, 1996.

3.2 References

- a. *Code of Federal Regulations*, Title 10, Part 71, "Packaging and Transportation of Radioactive Material," as amended.
- b. *Code of Federal Regulations*, Title 40, Part 263, "Standard Applicable to Transporters of Hazardous Waste," as amended.
- c. *Code of Federal Regulations*, Title 49, Parts 100-180, as applicable, "Hazardous Materials Regulations," as amended.
- d. *Code of Federal Regulations*, Title 49, Parts 40 and 355-399 as applicable, "Federal Motor Carrier Safety Regulations," as amended.

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3.3 Acronyms

CFR	Code of Federal Regulations
CMV	Commercial motor vehicle
DOE	U.S. Department of Energy
DOT	U.S. Department of Transportation
DVIR	Driver Vehicle Inspection Report
EPA	U.S. Environmental Protection Agency
FMCSA	Federal Motor Carrier Safety Administration
FMCSR	Federal Motor Carrier Safety Regulations
HAZMAT	Hazardous materials
HMII	Hazardous Materials Inspection Indicator
HOS	Hours of Service
HRCQ	Highway Route Controlled Quantities
MCEP	Motor Carrier Evaluation Program
NTP	DOE National Transportation Program
NTP-A	DOE National Transportation Program-Albuquerque
OOS	Out of Service
OSHA	Occupational Safety and Health Administration
RSPA	Research and Special Programs Administration
SEA	Safety Evaluation Area

3.4 Definitions

MCEP NTP-A Program Manager: Provides functional oversight and approval of MCEP activities; defines policy; determines procedures; directs funding allocation; and controls dissemination of information from the evaluation process to the field.

MCEP Contractor Program Manager: Provides day-to-day management of MCEP activities under the direction of the NTP-A Program Manager.

MCEP Program Lead: Ensures initial carrier screening is performed; schedules onsite evaluations; ensures accuracy of documentation received from carriers and distribution of information submitted to NTP-A; evaluates information on carrier performance metrics received in any of the three stages of the MCEP process; and ensures that evaluators (MCEP team Members) are both qualified and trained.

MCEP Team Member(s): Individuals qualified by experience and/or training to participate in the MCEP process as evaluators in any of the initial carrier screening, onsite evaluation, or carrier monitoring stages.

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4. GENERAL

4.1 Preliminary Evaluation Report

A Preliminary Evaluation Report is prepared for each carrier proceeding to the onsite evaluation process. The purpose of this report is to transmit information obtained by the Contractor Program Lead during the initial carrier screening process to the national/local evaluation team members selected to perform the onsite evaluation. This report contains copies of the current SafeStat statistics, the MCEP Carrier Information Report (CIR), and other relevant documentation submitted by the carrier. The report includes a short narrative identifying questions or areas of concern that should be addressed by the onsite evaluators in addition to the checklist items.

4.2 National and Local MCEP Evaluation Teams

National MCEP evaluation teams: Comprised of subject matter experts (SME) assigned to evaluate carriers that provide transportation services to DOE on a nationwide basis or have tenders filed with the NTP-A. Carriers designated as "national" may include those providing transportation services to more than three DOE sites.

Local MCEP evaluation teams: Comprised of DOE, SME (with the agreement of the NTP-A Program Manager), and/or contractor transportation personnel who have been selected to evaluate the carriers that service their particular site. If DOE or contractor transportation personnel wish to evaluate the local terminal of a national carrier, it is their responsibility to do so, and not the responsibility of the NTP or the Contractor Program Manager.

As shown in the process diagram presented in Attachment A, local evaluation teams are responsible for scheduling the onsite evaluation, contacting the carrier, preparing the narrative report, and sending the narrative report and all supporting documentation to the Contractor Program Lead.

All evaluators (national or local) must be trained in the requirements of MCEP Revision 6 before they can participate in the program. A listing of mandatory courses and evaluator qualifications that are considered a prerequisite for training can be found in Section 3 of the MCEP Management Plan.

5. PROCEDURE

Attachment A contains a flow diagram depicting the overall work process associated with this procedure.

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6. RECORDS

Records generated as a result of this procedure are to be identified, classified, and prepared in accordance with DOE Order 200.1, and managed in compliance with the requirements specified in DOE Guidance 200.1. At minimum, the following are to be considered QA records:

Onsite Carrier Confirmation Letter
Onsite Evaluation Questionnaire
Vehicle Inspection and Maintenance Checklist
Driver Qualification File Checklist
Driver's Record of Duty Status Checklist
Employee Training Checklist
Employee Qualification Checklist
Alcohol Misuse and Controlled Substances Use Checklist
Narrative Report
Carrier Close-Out Letter

7. ATTACHMENTS

Attachment A - Onsite Evaluation Process Flow Diagram
Attachment B - Onsite Carrier Confirmation Letter
Attachment C - Onsite Evaluation Questionnaire
Attachment D - DOE Mandatory Requirements Checklist
Attachment E - Evaluation Sample Size Guide
Attachment F - Vehicle Inspection and Maintenance Checklist
Attachment G - Driver Qualification File Checklist
Attachment H - Driver's Record of Duty Status Checklist
Attachment I - Employee Training Checklist
Attachment J - Employee Qualification Checklist
Attachment K - Alcohol Misuse and Controlled Substances Use Checklist
Attachment L - Format and Instruction for the Narrative Report
Attachment M - Carrier Close-Out Letter

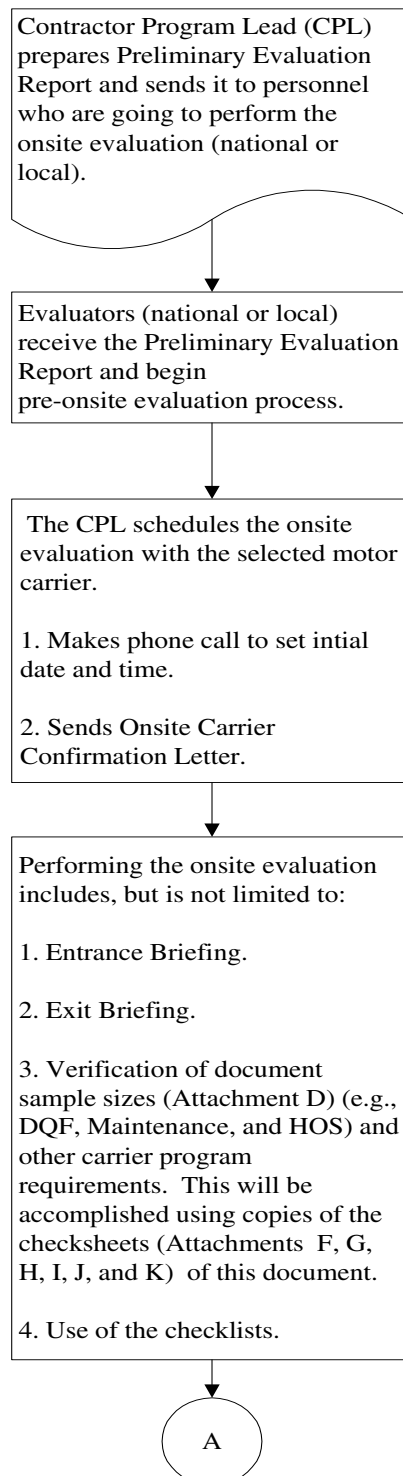
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8. REVISION LISTING

Revision Number	Description	Revision Date
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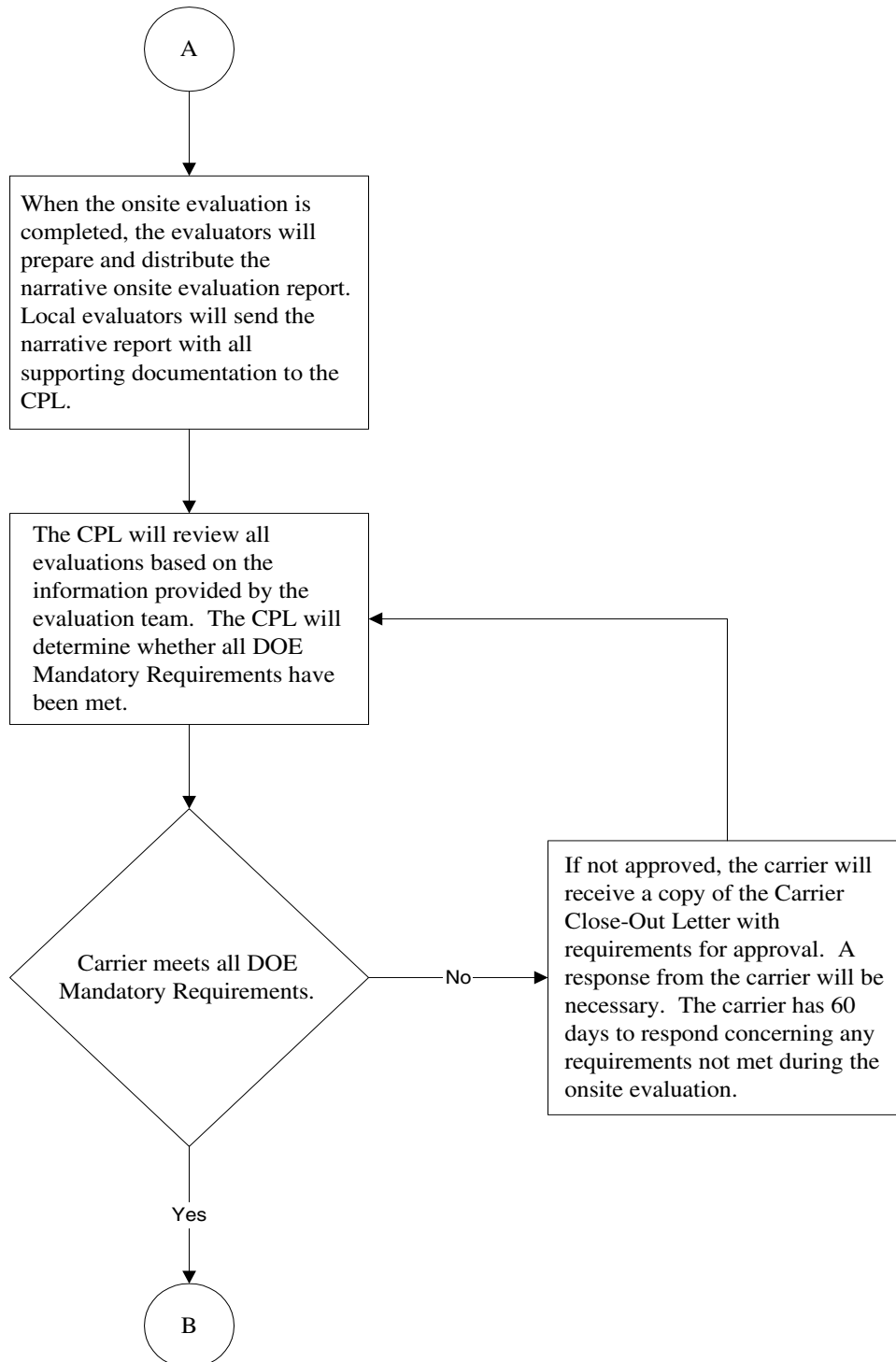
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Attachment A **Onsite Evaluation Process Flow Diagram**



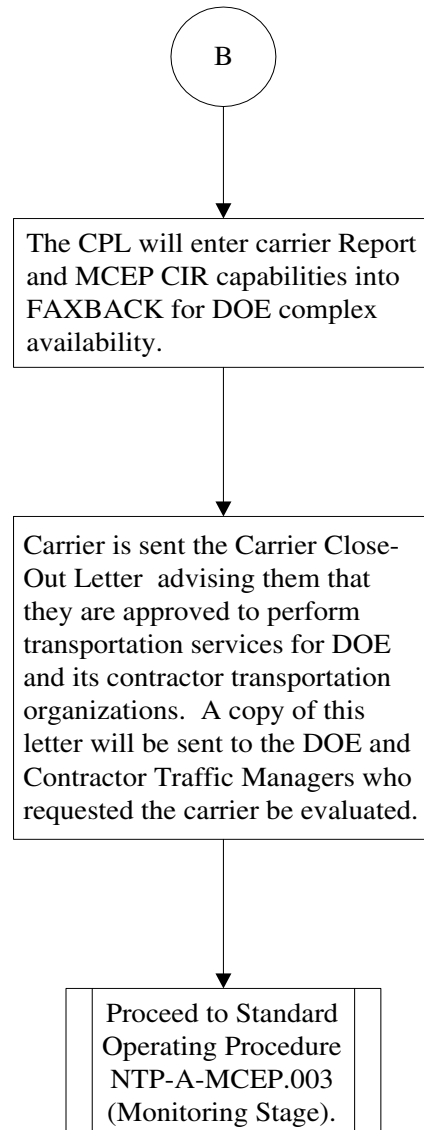
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Attachment A (cont.)
Onsite Evaluation Process Flow Diagram



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Attachment A (cont.)
Onsite Evaluation Process Flow Diagram



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Attachment B **Onsite Carrier Confirmation Letter (Example)**

Date

Name of Contact
Title
Name of Company
Address
City, State, Zip

Dear (Name of Contact):

I would like to thank you for the opportunity to evaluate (Name of Carrier) on behalf of the U.S. Department of Energy (DOE) National Transportation Programs-Albuquerque (NTP-A) Motor Carrier Evaluation Program (MCEP). The purpose of this program is to evaluate carriers to ensure that only highly qualified, MCEP-approved carriers are utilized to transport commodities for DOE and its contractors, especially hazardous materials including radioactive materials and hazardous waste.

The confirmed dates for this evaluation are [onsite evaluation date(s)]. The evaluation team will be comprised of [Name(s) and Title(s) of those participating in the onsite evaluation, including any observers]. During our visit we will need to have your driver files, equipment maintenance records, and driver logs available for inspection, along with supporting documentation including:

Port of Entry receipts	Delivery receipts	Fuel receipts	Toll receipts
Bills of lading	Weight tickets	Trip reports	Accident reports
Security guard reports	State vehicle inspection reports	Time-clock records	
Driver Vehicle Inspection Reports		State speeding/moving citations	

General topics of discussion will include insurance and claims, safety, emergency response, carrier equipment, customer service, selection, training, maintenance of equipment, security, and hazardous material. Other areas of discussion will include waste transportation and cargo tank operations as applicable.

A current copy of your SafetyNet Report from the Federal Highway Administration is enclosed for your review. The SafetyNet Report is a comprehensive summary of a motor carrier's safety performance over a two-to-four-year period. It is a profile of consolidated information from state and federal sources that includes data such as vehicle and driver inspections, accident summaries, and a history of compliance compiled by the Motor Carrier Management Information System for the Federal Motor Carrier Safety Administration (FMCSA) Data Analysis & Information Systems Division. Please review your SafetyNet Report for accuracy as the relevant information and statistics provided in this report will be discussed during the onsite evaluation process.

This onsite evaluation/validation process also will provide (Name of Carrier) with specific information about the expectations that NTP-A has established for those carriers selected to transport DOE-owned hazardous commodities. If you have any questions regarding the MCEP or our forthcoming visit, please call me at (area code + phone number).

Thank you for your time and attention,

(Signature and Title)

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Attachment C **Onsite Evaluation Questionnaire**

The following questions and tables are designed for use in validating specific policies, procedures, programs, and information regarding a carrier's performance during the onsite evaluation process. These questions and tables identify issues that are important to DOE, and most are considered mandatory requirements for carriers seeking status as an MCEP-approved carrier. By the time the onsite evaluation is performed, a carrier will have already undergone two reviews during the initial carrier screening process (see Standard Operating Procedure NTP-A-MCEP.001). It is unlikely that mandatory requirement issues would be identified during the onsite evaluation; however, in the event that the mandatory requirements have not been met prior to the onsite evaluation, the following paragraph describes the process to be followed by DOE and the carrier.

A carrier failing to meet all of the DOE mandatory requirements will not be considered "approved" until all problems are rectified. The carrier will be given 60 days to resolve the issue(s). Until all issues are resolved, the carrier will be placed in non-use status, and will not be used until the carrier has corrected all problems identified during the onsite evaluation. The sooner the resolution, the quicker the carrier can be "approved." All information provided by the carrier will be sent to the individual in charge of the onsite evaluation. This person will ensure that all compliance requirements have been met before forwarding the onsite evaluation information to the MCEP program lead.

Note to Evaluators:

If the FMCSA has performed a Compliance Review of the carrier within the past nine months prior to the onsite evaluation AND the carrier's SEA values are 25 or less, no duplicate reviews of Compliance Review items are necessary. For example, if the FMCSA Compliance Review included hours-of-service (HOS) records, and the Driver SEA value is 18, no review of the carrier's Hours of Service (HOS) files is required. Likewise, if the FMCSA Compliance Review included maintenance files and the carrier's Vehicle SEA is 24, no review of the carrier's maintenance files is required.

Checklists have been developed for the following areas (SOP NTP-A-MCEP.002):

- Vehicle Inspection and Maintenance
- Driver Qualification File
- Driver's Record of Duty Status
- Employee Training
- Employee Qualification
- Alcohol Misuse and Controlled Substances Use Testing

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General Evaluation Information

Evaluation Date: _____

Carrier Name: _____

Address: _____

Telephone Number: _____ Fax Number: _____

Web site Address: _____

Emergency Contact Telephone Number: _____

Parent Company (if applicable): _____

Address: _____

Telephone Number: _____ Fax Number: _____

USDOT/MC Number: _____

Persons Interviewed and their Titles: _____

Evaluators (Name and company): _____

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General Question Section

1. Are policies/procedures uniform throughout the company's facilities? ☐ Yes ☐ No
2. What are the company's operating ratios for the past three years?
 Current Year _____ Previous Year _____ Next Previous Year _____
3. What is the carrier's assets-to-liabilities ratio? _____

Freight Claims and Pending Litigation Section

4. If applicable, what is the carrier's freight claims ratio? _____
 Number of claims per thousand shipments? _____
 Percentage relationship of claims to line haul revenue? _____
5. What percentages of the carrier's freight claims are paid within 30 days? _____ %
6. Does the carrier have an "automatic" pay amount for freight claims? ☐ Yes ☐ No
7. Is the carrier a party to any pending or enforcement activities by regulatory agencies?
 (i.e., DOT, EPA, OSHA, state or local governments, etc.) ☐ Yes ☐ No
 If Yes, explain: _____

Carrier Safety

8. Explain where and how the carrier maintains its accident register to meet the requirements of 49 CFR, Part 390.15? _____

9. Does the carrier maintain a review board to investigate accidents?
☐ No ☐ Yes (title of board members) _____

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10. Does the carrier maintain a review board to determine the preventability of accidents or incidents?

☐ No ☐ Yes (title of board members) _____

11. Does the carrier have a formal Safety Department/Organization? ☐ Yes ☐ No

12. Name and title of those responsible for compliance in the following areas:

EPA: _____

FMCSR: _____

HMR: _____

Training: _____

Risk Management: _____

13. Are current copies (as applicable) of 10 CFR, 29 CFR, 40 CFR, and 49 CFR available to carrier employees? ☐ No ☐ Yes, verify Format: _____

14. What is the frequency of ongoing regularly scheduled safety meetings?

☐ Weekly ☐ Monthly ☐ Semiannually ☐ Annually

15. Describe the system used to document a driver's participation in the regularly scheduled safety meetings? _____

Emergency Response and Spill Prevention and Control

16. Does the carrier maintain a capability to respond to emergency situations while hazardous materials loads are en route?

☐ In-house capability ☐ Third-party capability (with whom): _____

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17. How does the carrier verify that appropriate emergency response information accompanies all hazardous materials shipments (49 CFR, Part 172.602)? _____

18. Verify that the carrier is knowledgeable of incident-reporting requirements per 49 CFR, Parts 171.15 and 171.16.

19. Has the carrier developed written procedures for spill prevention and control?

☐ Yes ☐ No

20. Is the carrier equipped to handle spill remediation and damaged containers at its terminals or on its vehicles when transporting hazardous materials en route?

☐ No ☐ Yes, how _____

Carrier Equipment Profile

21. What criteria does the carrier use to determine equipment replacement?

Tractors: _____

Trailers: _____

Owner/Operators: _____

22. What types of communication devices are installed in the carrier's equipment?

☐ CB Radio ☐ Satellite ☐ Telephone (mobile or cellular)

☐ Two-way Radio ☐ Pagers ☐ Others

23. Does the carrier utilize onboard equipment to monitor driving habits and equipment use?

☐ No ☐ Yes, explain: _____

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Operations/Customer Service Section

23. How does the carrier inform the shipper or receiver when pickup or delivery times will not be met?

25. Explain the carrier's ability to trace or track shipments in transit. _____

26. Explain the dispatch function. _____

27. Does the dispatch function have the ability to lock out drivers or equipment that are not in compliance [Hours of Service (HOS) or Out of Service (OOS)]? _____

28. Is the carrier involved in any intermodal programs? ☐ No ☐ Rail ☐ Vessel

29. What special services does the carrier offer?

- ☐ Drivers with security clearances
- ☐ Team drivers
- ☐ Call-in services

30. What Electronic Data Interchange (EDI) capability does the carrier have? _____

31. Does the carrier participate in Electronic Funds Transfer (EFT)?

- ☐ No ☐ Yes

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Drivers Section

32. Are drivers required to complete an application for employment in person at the carrier facilities?
☐ Yes ☐ No, why _____

33. What is the carrier's driver turnover ratio for the past three years?
 Current Year _____ Previous Year _____ Next Previous Year _____
33. What is the carrier's hiring process and what are its minimum qualifications for driver applicants (per 49 CFR, Part 391.11)? _____

35. What type of background checks does the carrier perform on potential drivers?
☐ Former Employer ☐ Criminal ☐ Financial ☐ Other
36. Does the carrier observe or survey drivers' performance while operating equipment?
☐ No ☐ Yes, explain _____

37. Does the carrier have and enforce a written policy regarding drivers placed OOS who operate the vehicle before coming into compliance (jumping)?
☐ Yes ☐ No, why _____

Training

38. Verify that designated supervisors and managers have received the minimum training required to determine reasonable suspicion of alcohol misuse and controlled substances use per 49 CFR, Part 382.603.
39. Verify that all drivers have received and signed for educational materials per 49 CFR, Part 382.601.

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40. How does the carrier ensure that drivers are instructed in and are knowledgeable of the Federal Motor Carrier Safety Regulations (FMCSR)? _____

41. How does the carrier provide recurrent training in FMCSR? _____

42. What is the format of instruction used?

- ☐ Classroom
 ☐ Video
 ☐ Audio tape
 ☐ Newsletters
☐ Read and Sign
 ☐ Computer-based training
 ☐ Other

43. Has the carrier developed a program to instruct its drivers on the proper use of personal protective equipment (PPE)?

- ☐ Yes ☐ No

44. Are drivers trained in emergency response actions?

- ☐ Yes ☐ No

Maintenance of Equipment

45. How does the carrier verify that drivers conduct pre-trip and post-trip vehicle inspections?

46. How are the carrier's maintenance operations performed?

- ☐ In-house ☐ Third party

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47. Are drivers authorized to make repairs on equipment?

☐ No ☐ Yes, (what types) _____

Physical Security

48. Identify the precautions the carrier has taken to prevent vandalism or theft within its facilities and while hazardous materials shipments are en route?

Facilities:	<input type="checkbox"/> Gates, manual or electric	<input type="checkbox"/> Perimeter fencing
	<input type="checkbox"/> Lighting	<input type="checkbox"/> 24-hour operation
	<input type="checkbox"/> Security guards	<input type="checkbox"/> Animals (dogs, etc.)
	<input type="checkbox"/> Cameras	<input type="checkbox"/> Other

En route:	<input type="checkbox"/> King pin locks	<input type="checkbox"/> Valve locks
	<input type="checkbox"/> Team drivers	<input type="checkbox"/> Other

Hazardous Materials

49. How many years experience does the carrier and/or its staff have in transporting the following commodities?

	Carrier	Staff
Hazardous materials?	_____	_____
Radioactive materials?	_____	_____
Hazardous waste?	_____	_____
Mixed waste?	_____	_____

50. What percentage of the carrier's business is composed of hazardous materials shipments? ____%

51. Besides hazardous materials training, does the carrier have any additional requirements for drivers transporting hazardous materials in contrast to general commodity drivers?

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52. Does the carrier provide equipment and training to handle damaged containers and/or spill cleanup?

☐ No ☐ Yes, describe _____

53. Does the carrier trip-lease hazardous material shipments to other carriers?

☐ No ☐ Yes (list other carriers) _____

54. Does the carrier have any driver who must comply with the training requirement for Highway Route Control Quantity (HRCQ) shipments (per 49 CFR, Part 397.101)?

☐ No ☐ Yes, explain _____

55. Verify that the carrier is knowledgeable of and compliant with routing requirements for placarded shipments of Class 7 materials per 49 CFR, Part 397.101.

56. If transporting HRCQ materials, can the carrier provide a copy of the written route plan required by 49 CFR, Part 397.101(d)?

☐ Yes ☐ No, why _____

Waste Carriers

57. Describe the records-keeping process for uniform hazardous waste manifests _____

58. Does the carrier act as a broker for hazardous waste shipments?

☐ No ☐ Yes, explain _____

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59. Does the carrier interline hazardous waste shipments?

☐ No ☐ Yes, explain _____

60. Does the carrier accept shipments of hazardous waste from brokers?

☐ No ☐ Yes, explain _____

Carriers Transporting Hazardous Materials in Bulk

61. Does the carrier clean its own cargo tank equipment on site?

☐ No ☐ Yes

62. Are procedures established for the following cleaning methods (if used):

Steam Cleaning? ☐ Yes ☐ No

Hot Water Cleaning? ☐ Yes ☐ No

Solvent Cleaning? ☐ Yes ☐ No

63. Does the carrier have its cargo tanks cleaned by an independent third party?

☐ Yes ☐ No

64. Does the carrier have a process to qualify independent cargo tank cleaning facilities?

☐ Yes ☐ No

65. Is there a written policy to ensure that the loading and unloading responsibilities of a driver and shipper/receiver are documented?

☐ Yes ☐ No

66. Does the carrier use third party, DOT-registered facilities for cargo tank tests, inspections, and repairs?

☐ Yes ☐ No

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67. Has the carrier received a copy of the third party's registration number identification from DOT?

☐ Yes ☐ No

68. How does the carrier perform inspections and retesting of the bulk packages under its control?

69. What are the qualifications/certifications of the persons or organizations performing inspection, repairs, and retesting functions?

70. List all exemptions for bulk packaging the carrier currently holds or is a party to (If more space than provided below is required, please provide a list).

Exemption

Expiration Date

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Onsite Evaluation Questionnaire Tables

- A. Using the Checklist (Attachment F), verify that the carrier adheres to written inspection, repair, and maintenance policies.**

DOE MANDATORY REQUIREMENTS	YES	NO	N/A
Verify that the carrier has developed a policy for scheduled maintenance for all vehicles in its control per 49 CFR, Part 396.3(a).			
Verify that the carrier maintains records for all vehicles in its control for 30 consecutive days or more per 49 CFR, Part 396.3(b) (per the sample size).			
Verify that the carrier maintains driver vehicle inspection reports for a period of 3 months per 49 CFR, Part 396.11(c)(2) (per the sample size).			
Verify that the carrier performs periodic (annual) inspections and maintains accurate records per 49 CFR, Parts 396.17 and 396.21 (per the sample size).			
Using the Worksheet, inspect vehicles (if applicable) at the facility to verify the following:			
a. Proof of periodic (annual) inspection is carried on each commercial motor vehicle (CMV) per 49 CFR, Part 396.17 [or current Commercial Vehicle Safety Alliance equivalency].			
b. The carrier's CMVs are marked to meet DOT requirements per 49 CFR, Part 390.21.			
c. Carriers transporting hazardous materials (HAZMAT) maintain a copy of the HAZMAT certificate of registration at their principal place of business and on the vehicle per 49 CFR, Part 107.620(b).			
Standard: The carrier is knowledgeable of requirements to ensure that its vehicles meet the applicable requirements of 49 CFR, Parts 107, 390, and 396 and Appendix G.	Reference: 49 CFR, Parts 107.620, 390.21, and 396 and Appendix G.		

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B. Using the Checklist (Attachment G), verify that the carrier has and maintains a Driver Qualification File for each driver of a commercial motor vehicle.

DOE MANDATORY REQUIREMENTS	YES	NO	N/A
Verify that a completed and signed application for employment is in each file per 49 CFR, Part 391.21.			
Verify that a written record of contact with past employers exists per 49 CFR, Part 391.21.			
Verify a response from a state agency pursuant to 49 CFR, Part 391.23 (initial investigation for new hires).			
Verify a response from each state agency to the annual driver record inquiry with annual review and signature per 49 CFR, Part 391.25.			
Verify the existence of a list or certificate relating to driver violations of vehicle laws and ordinances per 49 CFR, Part 391.27.			
Verify issuance of a certificate of road test to drivers per 49 CFR, Part 391.31, or a copy of a license accepted as equivalent per Part 391.33.			
Verify the Medical Examiner's Certificate per 49 CFR, Part 391.43.			
Verify that waivers are granted by the Regional Director of Motor Carriers (as applicable) per 49 CFR, Part 391.49.			
Verify that the files of previous drivers are maintained for 3 years after their departure per 49 CFR, Part 391.51.			
Standard: The carrier establishes a Driver Qualification File for each individual hired to drive a commercial motor vehicle, and maintains and reviews each file to meet DOT requirements in 49 CFR, Part 391.	Reference: 49 CFR, Parts 391.21, 391.23, 391.25, 391.27, 391.33, 391.43, 391.49, and 391.51.		

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C. Using the Checklist (Attachment H), verify the carrier's policy on maintaining and auditing Drivers' Records of Duty Status.

DOE MANDATORY REQUIREMENTS	YES	NO	N/A
Verify that drivers submit time documents to meet the requirements of 49 CFR, Parts 395.8 and/or 395.1(e).			
Verify that the carrier maintains Drivers' Records of Duty Status records for a period of 6 months per 49 CFR, Part 395.8 or 395.1(e)(5).			
Using the worksheet, verify that drivers use the 100-air-mile radius driver exemption per 49 CFR, Part 395.1(e) and comply with the following requirements:			
a. Operate within the 100-air-mile radius.			
b. Return to the reporting location and are released from work within 12 consecutive hours.			
c. Are off duty at least 8 consecutive hours after every 12 hours spent on duty.			
d. Do not drive more than 10 hours after 8 consecutive hours off duty.			
Using the worksheet, verify that the carrier:			
a. Does not allow drivers to drive more than 10 hours after 8 consecutive hours off duty per 49 CFR, Part 395.3.			
b. Does not allow drivers to drive after 15 hours on duty following 8 consecutive hours off duty per 49 CFR, Part 395.3.			
c. Does not allow drivers to drive after being on duty 60 hours in 7 consecutive days (or 70 hours in 8 days) per 49 CFR, Part 395.3.			
Standard: Carrier is knowledgeable of Drivers' HOS regulations requiring the submission, maintenance, and auditing of time documents for drivers of CMV per 49 CFR, Part 395.	Reference: 49 CFR, Parts 395.1, 395.3, and 395.8.		

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D. Using the Checklist (Attachment I), verify the carrier's employees are trained to comply with regulations applicable to the transportation of HAZMAT.

DOE MANDATORY REQUIREMENTS	YES	NO	N/A
Verify that all employees identified as HAZMAT employees per 49 CFR, Part 171.8 are trained to the requirements of Part 172.700 (subpart H) at minimum.			
Verify that all drivers identified as HAZMAT employees per 49 CFR, Part 171.8 are additionally trained to the applicable requirements of 49 CFR, Part 177.816.			
Verify that all drivers transporting Highway Route Controlled Quantities (HRCQ) of Class 7 materials receive additional training as identified in 49 CFR, Part 397.101(e).			
Standard: Carrier is knowledgeable of the regulations and trains its drivers and HAZMAT employees to meet the applicable DOT training requirements.	References: 49 CFR, Parts 171.8, 172.700, 177.816, and 397 as applicable.		

E. Using the Checklist (Attachment J), verify that the carrier has implemented policies and procedures to ensure compliance with applicable sections of 49 CFR, Part 180 (Tank Truck Operations only).

DOE MANDATORY REQUIREMENTS	YES	NO	N/A
Verify the carrier provides additional training to meet the specialized requirements for cargo tanks and/or portable tanks per 49 CFR, Part 177.816(b).			
Verify that examinations, tests, and retests are performed to ensure tanker and fitting integrity as required by 49 CFR, Part 180.407(a).			
Verify that the carrier has a detailed process for inspecting cargo tanks that provides for the requirements of items on a frequency basis per 49 CFR, Parts 180.407(c).			
Verify that the carrier maintains a file for each cargo tank that includes the manufacturers data report certificate and related papers as required in 49 CFR, Part 180.417(a)(1).			
Standard: The carrier provides information or can demonstrate capabilities to comply with the requirements for tank truck operation.	Reference: 49 CFR, Parts 177.816, 180.407, and 180.417.		

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F. Using the Checklist (Attachment K), verify that the carrier correctly meets and enforces the requirements for alcohol misuse and controlled substances use and testing.

DOE MANDATORY REQUIREMENTS	YES	NO	N/A
Verify that the carrier has implemented an alcohol misuse and controlled substances use testing program to meet the requirements of 49 CFR, Parts 40 and 382.115(a).			
Verify that all drivers holding Commercial Driver's Licenses are in the program per 49 CFR, Part 382.103.			
Verify that the carrier has and enforces a policy to remove drivers found to have alcohol concentrations greater than 0.02, but less than 0.04, from performing safety-sensitive functions per 49 CFR, Part 382.505.			
From the annual summary, verify that the carrier meets the minimum requirement of 50% for random testing for controlled substances use per 49 CFR, Part 382.305.			
From the annual summary, verify that the carrier meets the minimum requirement of 10% for alcohol misuse testing per 49 CFR, Part 382.305.			
Verify that the carrier only uses laboratories that are certified by DOT for alcohol misuse and controlled substance use testing.			
Standard: Carrier is knowledgeable of the requirements of 49 CFR, Parts 40 and 382, and has established a program designed to prevent accidents and injuries resulting from the misuse of alcohol or the use of controlled substances by drivers of commercial motor vehicles.	Reference: 49 CFR, Parts 40, 382.103, 382.115, 382.305, and 382.505.		

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Attachment D **DOE Mandatory Requirements Checklist**

All responses to the questions below should be "Yes" with the exception of question 10, which should be answered "No." If the answer to question 10 is "Yes" and the bankruptcy is filed under Chapter 11, carrier eligibility will be determined on a case-by-case basis.

DOE Mandatory Requirement	Meets requirements	
	YES	NO
Initial Screening Process Step 1		
1. The carrier must have a "Satisfactory" safety rating.		
2. The SafeStat score must be zero.		
3. All SEA values must be 64 or lower.		
a. Accident SEA		
b. Driver SEA		
c. Vehicle SEA		
d. Safety Management SEA		
4. HMII (created for DOE)		
5. Recordable Crash Rate (64 or lower)		
Initial Screening Process Step 2		
6. USDOT identification number		
7. RSPA HAZMAT registration number (if applicable)		
8. EPA Transporter Registration number (if applicable)		
9. Correct amount of liability insurance coverage for the volumes and types of commodities transported.		
10. Copy of completed MCS-90 and Accord form.		
11. Has the carrier filed a bankruptcy petition within the past 12 months (correct response should be NO).		

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DOE Mandatory Requirement	Meets requirements	
	YES	NO
Onsite Evaluation		
12. The carrier must have an assets-to-liabilities ratio of 1.00 or higher.		
13. The carrier's operating ratios must be below 100% for the past three years (including the current year).		
14. The carrier has an emergency response plan that identifies roles and responsibilities for drivers and administrative staff.		
15. The carrier can document that all of the applicable requirements in Table A are being met.		
16. The carrier can document that all of the applicable requirements in Table B are being met.		
17. The carrier can document that all of the applicable requirements in Table C are being met.		
18. The carrier can document that all of the applicable requirements in Table D are being met.		
19. The carrier can document that all of the applicable requirements in Table E are being met.		
20. The carrier can document that all of the applicable requirements in Table F are being met.		
21. Managers and supervisors have received the required training for alcohol misuse and controlled substances use.		
22. The carrier has a training program to ensure recurrent training of employees in the FMCSR.		
23. The carrier does not interline shipments of hazardous waste.		
24. The carrier has all necessary permits and paperwork to perform inspections, repair, and testing of cargo tanks (if applicable).		

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Attachment E

Evaluation Sample Size Guide

The following tables and instructions identify the number of files to be reviewed during an onsite evaluation to determine a carrier's compliance with regulations in its hiring practices, driver management, Drivers' Hours of Service (HOS) records, and maintenance policies and procedures.

1. Vehicle Inspection and Maintenance

The purpose of this review is to establish the effectiveness of the maintenance practices of a motor carrier, equipment inspections by drivers, and carrier follow-up, as well as the overall condition of the motor carrier's vehicles. A carrier's maintenance system involves three elements: vehicle maintenance, vehicle inspection reports, and maintenance records. When possible, evaluators should select drivers' daily written vehicle inspection reports and the maintenance records that coincide with the vehicles available for inspection.

Vehicle and maintenance files should be selected in the following order:

- Vehicles involved in accidents
- Vehicles cited for equipment violations during roadside inspections
- Inspection/maintenance records for at least one of each type of vehicle operated (if possible)

In addition, a random selection should be made from the balance of the maintenance files to make up the total number to be examined based on the number of vehicles subject to Federal Motor Carrier Safety Regulations (FMCSRs).

Number of Vehicles Subject to FMCSRs	Minimum Number of Vehicle Maintenance Files to Review	Maximum Number of Vehicle Maintenance Files to Review
1 - 5	All	All
6 - 25	3	5
26 - 50	4	8
51 - 90	7	13
91 - 150	10	20
151 - 249	16	32
250 - Over	25	50

Note: As a rule of thumb, if a 10% error ratio is found in the minimum number of files reviewed, evaluators should review the maximum number of files. If a 10% error ratio is found in the maximum number of files reviewed, evaluators should require the carrier to provide a corrective action report for those items. This should be covered in the exit briefing. In addition to the Vehicle Maintenance Checklist, the Training and Qualification Checklist for all maintenance personnel should be completed.

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2. Driver Qualification Files

A review of the Driver Qualification Files should be conducted to determine whether a carrier's hiring practices meet the requirements of 49 CFR, Part 391, and to verify the carrier's compliance with the regulations.

Selection of Driver Qualification Files should be based on the following criteria:

- Drivers involved in accidents (evaluators should ask to see accident register 49 CFR, Part 390.15)
- Drivers cited for driver qualification violations during roadside inspections

In addition, a random selection should be made from the balance of the Driver Qualification Files to make up the total number to be examined based on the number of drivers subject to FMCSRs.

Number of Drivers Subject to the FMCSRs	Minimum Number of Driver Qualification Files to be Reviewed	Maximum Number of Driver Qualification Files to be Reviewed
1 - 5	All	All
6 - 25	3	5
26 - 50	4	8
51 - 90	7	13
91 - 150	10	20
151 - 249	16	32
250 - Over	25	50

Note: As a rule of thumb, if a 10% error ratio is found in the minimum number of files reviewed, evaluators should review the maximum number of files. If a 10% error ratio is found in the maximum number of files reviewed, evaluators should require the carrier to provide a corrective action report for those items. This should be covered in the exit briefing. In addition to the HOS Checklist, evaluators should complete the Training and Qualification Checklist for all Driver Qualification Files selected for review.

3. Drivers' Hours of Service

Drivers' HOS records (logbooks or timecards) should be reviewed to ensure that drivers are complying with the requirements of 49 CFR, Part 395, and that the carrier is strictly complying with the regulations by auditing time documents regularly and knowledgeably.

Selection of files for examination should be based on the following criteria:

- Drivers involved in accidents
- Drivers cited for Drivers' HOS violations during roadside inspections
- Carrier operations that have revealed noncompliance and may be linked to driver behavior

In addition to those listed above, additional time documents should be randomly selected from the table below to make up the total number to be examined based on the number of drivers subject to FMCSRs.

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The column titled “Minimum Number of Files to Review” indicates the minimum number of daily time documents to be examined. In other words, evaluators should only use a small number of additional time documents to verify logbook entries.

Number of Drivers Subject to FMCSRs	Time Period of Records of Duty Status	Minimum Number of Different Drivers Selected	Minimum Number of Files to Review	Maximum Number of Different Drivers Selected	Maximum Number of Files to Review
1 - 5	1 month from prior 6 months	2	60	All	150
6 - 15	1 month from prior 6 months	3	90	5	150
16 - 50	1 month from prior 6 months	4	120	7	210
51 – 150	1 month from prior 6 months	5	150	11	330
151 – 500	1 month from prior 6 months	8	240	17	510
501 - Over	1 month from prior 6 months	13	390	27	810

Note: As a rule of thumb, if a 10% error ratio is found in the minimum number of files reviewed, evaluators should review the maximum number of files. If a 10% error ratio is found in the maximum number of files reviewed, evaluators should require the carrier to provide a corrective action report for those items. This should be covered in the exit briefing.

Entries on the Drivers’ Records of Duty Status must be compared to verified entries on other company documents to detect inconsistencies. Documents that include mileage or time and date entries can be used to verify Record of Duty Status entries. These may include:

Tachograph charts	Delivery receipts	Maintenance records
Toll receipts	Bills of lading	Trip reports
Fuel receipts	Weight tickets	Security guard reports
Accident reports	Time-clock records	Port of entry receipts
State vehicle inspection reports	State speeding/moving citations	

4. Checklists

A master checklist for each of these three categories can be found in Attachments F through K to this procedure. These checklists should be copied prior to the onsite visit based on the number of drivers and vehicles reported by the carrier so that the evaluator has an individual checklist for the maximum number of Driver Qualification Files, logbooks, and Vehicle Maintenance Files to be examined.

Note: There are six checklists altogether. Only three list specific minimum and maximum numbers for the files to be reviewed. The other file reviews are made on a random selection basis, and no minimum or maximum numbers have been established.

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Attachment F **Vehicle Inspection & Maintenance Checklist**

1. **Carrier Name:** _____ **Evaluation Date:** _____

2. **Tractor Number:** _____ **Trailer Number:** _____ **Other:** _____

Codes:

C **I** **M** ***** (Codes: C = Compliance I = Incomplete M = Missing * = See comments)

☐ ☐ ☐ ☐ Record Retention for Vehicle(s) [(49 CFR, Part 396.2(c))]: _____

☐ ☐ ☐ ☐ Driver Vehicle Inspection Reports (DVIR) (49 CFR, Part 396.11): _____

☐ ☐ ☐ ☐ Periodic (Annual) Inspection (49 CFR, Part 396.17): _____

☐ ☐ ☐ ☐ Validation of Periodic Inspection Documentation on vehicle [49 CFR, Part 396.17(c)]:

☐ ☐ ☐ ☐ Validation of Completed & Signed DVIR (49 CFR, Part 396.13):

General Comments: _____

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Attachment G **Driver Qualification File Checklist**

1. **Carrier Name:** _____ **Evaluation Date:** _____

2. **Driver Name:** _____

Codes:

C **I** **M** ***** (Codes: C = Compliance I = Incomplete M = Missing * = See comments)

[] [] [] [] Application for Employment (49 CFR, Part 391.21): _____

[] [] [] [] Driving Record Inquiry (MVR) (49 CFR, Part 391.25): _____

[] [] [] [] Previous Employment Inquiry (49 CFR, Part 391.23): _____

[] [] [] [] Road Test Certification (49 CFR, Part 391.31 or 391.33):

[] Tractor/Trailer
[] Tank

[] Straight Truck
[] Flatbed

[] Dry Van
[] Other: _____

[] [] [] [] Medical Examination Certification (49 CFR, Part 391.41): _____

[] [] [] [] Annual Certification of Violations (49 CFR, Part 391.27): _____

[] [] [] [] Annual Review of Driving Record (49 CFR, Part 391.25): _____

[] [] [] [] Vehicle Operator's License (49 CFR, Part 383.23):

State: _____ Expiration: _____ Class: [] A [] B [] C [] Other: _____

Endorsements: [] None [] H [] X [] N [] T [] P

Restrictions: [] Air Brake [] Automatic Transmission [] Manual Transmission

General Comments: _____

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Attachment H **Driver's Record of Duty Status Checklist**

1. **Carrier Name:** _____ **Evaluation Date:** _____

2. **Driver Name:** _____

Codes:

C **I** **M** ***** (Codes: C = Compliance I = Incomplete M = Missing * = See comments)

☐ ☐ ☐ ☐ Record of Duty Status (49 CFR, Part 395.1 or 395.8):

☐ Log Book ☐ On-board Computer ☐ Scannable Log ☐ Timecard

Form Contains Required Information:

<input type="checkbox"/> Date	<input type="checkbox"/> Main office address	<input type="checkbox"/> Name of co-driver
<input type="checkbox"/> Total miles driven today	<input type="checkbox"/> Driver's signature	<input type="checkbox"/> Total hours
<input type="checkbox"/> Tractor/trailer number(s)	<input type="checkbox"/> 24-hour period start time	<input type="checkbox"/> Shipping document No. or
<input type="checkbox"/> Name of carrier	<input type="checkbox"/> Remarks	commodity & Shipper

☐ ☐ ☐ ☐ Auditing log for form and manner errors: _____

☐ ☐ ☐ ☐ Monitoring receipt of logs within 13 days: _____

☐ ☐ ☐ ☐ Logs reviewed for Driver's Record of Duty Status errors: _____

Errors 10-hour rule: ☐ No ☐ Yes Log Date: _____

Errors 15-hour rule: ☐ No ☐ Yes Log Date: _____

Errors 70-hour rule: ☐ No ☐ Yes Log Date: _____

☐ ☐ ☐ ☐ Driver disciplined for falsifying data (Log Date): _____

☐ ☐ ☐ ☐ Logs maintained at principle place of business for 6 months: _____

☐ ☐ ☐ ☐ Supporting documents retained for at least 6 months: _____

General Comments: _____

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Attachment I **Employee Training Checklist**

1. **Carrier Name:** _____ **Evaluation Date:** _____

2. **Employee Name:** _____

Codes:

C **I** **M** ***** (Codes: C = Compliance I = Incomplete M = Missing * = See comments)

Identified as a HAZMAT Employee (or Driver per 49 CFR, Part 171.8)? ☐ Yes ☐ No

☐ ☐ ☐ ☐ Verify the files document training received (49 CFR, Part 172.704): _____

Identified to transport Highway Route Controlled Quantities (HRCQ) of radioactive materials?

☐ Yes ☐ No

☐ ☐ ☐ ☐ Verify the files/document training received (49 CFR, Part 397.101): _____

Identified to transport hazardous materials in Cargo Tanks or Portable Tanks (49 CFR, Part 177.816)?

☐ Yes ☐ No

☐ ☐ ☐ ☐ Verify the files/document training received (49 CFR, Part 177.816): _____

☐ ☐ ☐ ☐ Verify that recurrent training requirements have been met for 49 CFR, Parts 390 through 397 per 49 CFR, Part 177.816: _____

☐ ☐ ☐ ☐ Verify that relevant training requirements have been met for 49 CFR, Part 172.700: _____

Identified as a HAZMAT Employee (Registered Inspector or Design Certifying Engineer per 49 CFR, Part 171.8)?

☐ Yes ☐ No

☐ ☐ ☐ ☐ Verify the files/document training received (49 CFR, Part 172.704): _____

General Comments: _____

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Training Requirements per 49 CFR, Part 172.700

- ☐ General Awareness/ Familiarization
- ☐ Safety Training (when applicable) [A HAZMAT employee who repairs, modifies, reconditions, or tests packaging and performs no other HAZMAT functions subject to the regulations is exempt from Safety Training.]
- ☐ Function-Specific
 - ☐ Packaging
 - ☐ Shipping Papers
 - ☐ Marking
 - ☐ Labeling
 - ☐ Placarding
 - ☐ Separation and Segregation
 - ☐ DOT North American Emergency Response Guide
 - ☐ Material Safety Data Sheet
 - ☐ Hazardous Waste Manifests
 - ☐ Safety
 - ☐ Radioactive Materials Transportation
 - ☐ HRCQ
 - ☐ Hazardous Waste Transportation
 - ☐ Explosives Handling

General Driver Training Requirements

- ☐ Pre-Trip Safety Inspection
- ☐ Use of Vehicle Controls and Equipment
- ☐ Operation of Vehicle
- ☐ Procedures for maneuvering tunnels, bridges, and railroad crossings

- ☐ Requirements pertaining to attendance of vehicles, parking, smoking, routing, and incident reporting
- ☐ Loading and unloading materials including;
 - ☐ Compatibility and segregation of cargo in a mixed load
 - ☐ Packaging handling methods
 - ☐ Load securement

Cargo Tank Driver Training Requirements

- ☐ Operating Emergency Control Features
- ☐ Special Vehicle-Handling Characteristics
- ☐ Loading And Unloading Procedures
- ☐ Properties And Hazards Of Materials Transported
- ☐ Retest and inspection requirements for Cargo Tanks
- ☐ External visual Cargo Tank inspection
- ☐ Internal Visual Cargo Tank Inspection
- ☐ Cargo Tank Lining Inspection
- ☐ Drivers Training per 49 CFR, Part 177.816
- ☐ Cargo Tank Pressure Testing
- ☐ Cargo Tank Leakage Testing
- ☐ Cargo Tank Thickness Testing
- ☐ Advanced Hazardous Materials Shipper Certification Training
- ☐ Advanced Waste Materials Shipper Certification Training
- ☐ Advanced Radioactive Materials Shipper Certification Training
- ☐ Advanced Mixed Waste Materials Shipper Certification Training

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Attachment J **Employee Qualification Checklist**

1. **Carrier Name:** _____ **Evaluation Date:** _____

2. **Employee Name:** _____

Codes:

C **I** **M** ***** (Codes: C = Compliance I = Incomplete M = Missing * = See comments)

[] [] [] [] Maintenance Inspector Qualifications (49 CFR, Part 396.19): _____

[] [] [] [] Qualifications of Brake Inspectors (49 CFR, Part 396.25): _____

[] [] [] [] Identified and registered with DOT as a Registered Inspector of Cargo Tanks (49 CFR, Part 107.500): _____

[] [] [] [] Identified and registered with DOT as a Design Certifying Engineer of Cargo Tanks (49 CFR, Part 107.500): _____

[] [] [] [] Verify the individual has received all required training under 49 CFR, Part 172.700: _____

General Comments: _____

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Attachment K **Alcohol Misuse and Controlled Substances Use Checklist**

1. **Carrier Name:** _____ **Evaluation Date:** _____

2. **Driver Name:** _____

Codes:

C **I** **M** ***** (Codes: C = Compliance I = Incomplete M = Missing * = See comments)

[] [] [] [] From the annual summary, does the carrier meet the annual 50% random testing requirement for controlled substances (49 CFR, Part 382.305)?

[] [] [] [] From the annual summary, does the carrier meet the annual 10% requirement for alcohol testing (49 CFR, Part 382.305)?

[] [] [] [] Does the carrier prepare and maintain the results of previous years' testing (49 CFR, Part 382.403)?

[] [] [] [] Does the carrier meet the requirement for maintaining required records (49 CFR, Part 382.401):

[] [] [] [] Verify that post-accident testing for alcohol misuse or controlled substances use has been performed (49 CFR, Part 382.303):

General Comments: _____

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Attachment L **Format and Instructions for Narrative Report (Example)**

CARRIER EVALUATED: Full name of carrier evaluated

LOCATION: City and state where evaluation was performed

CONTACT(S):

1. Full names/titles of carrier personnel participating in the evaluation
- 2.
- 3.
- 4.

INTRODUCTION

Provide a paragraph or two describing your initial contact(s), where you met (corporate offices, address, etc.), how prepared the carrier was for your evaluation, and the general reception of the team and the evaluation process. For example, carrier responses may range from hospitable to helpful, or from sullen to hostile.

BACKGROUND

Provide a short history of the company, preferably in the evaluator's own words and not from a sales brochure. Include who founded the company and when; how it has grown; whether there have been takeovers, mergers, sales, or bankruptcies; etc. (basically the history of the company from its beginning to the present).

EVALUATION INFORMATION

Provide several descriptive paragraphs that expand on the answers given in the questionnaire and can assist U.S. Department of Energy (DOE) and contractor traffic management in making informed carrier selections. Include the conclusions reached by the evaluators, using the checklists to validate information provided by the carrier.

Also include a paragraph interpreting the SafetyNet Report statistics that provides more in-depth information than mere repetition of simple statistical figures. For example, this paragraph should reflect the evaluation team's thoughts concerning how the carrier measures up to industry standards and what trends the statistics indicate. It could state what the statistics show about driver qualifications and training and the carrier's maintenance practices, or it could describe how the statistics relate to the answers given in the questionnaire.

The following qualifying statement must precede the paragraph described above:

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“The SafetyNet Report is a comprehensive summary of a motor carrier’s safety performance over a period of two to four years. It is a profile of consolidated information from state and federal sources covering vehicle inspections (including drivers), accident summaries, a history of compliance, and federal safety ratings compiled by the Motor Carrier Management Information System for the Federal Motor Carrier Safety Administration (FMCSA).”

OBSERVATIONS

Address those minor deficiencies that are not driven by regulations and would not effect the carrier’s ability to perform. Examples include deficiencies such as lack of a documented safety incentive program for drivers and written policies and procedures.

AREAS OF CONCERN

Describe any areas of concern related to noncompliance with U.S. Department of Transportation, FMCSA, and applicable hazardous materials transportation regulations (e.g., errors in Drivers’ Records of Duty Status files or vehicle maintenance files). If the carrier fails to address these areas of concern through appropriate corrective actions, DOE will place them on non-use status.

CONCLUSIONS

Include a breakdown of the results leading to the evaluation team’s determination of the carrier’s ability to perform transportation services for DOE.

ASSISTANCE

Describe any assistance provided by the evaluation team to the carrier.

RECOMMENDATION

Provide an approval/nonapproval recommendation based on the carrier’s ability to meet all DOE mandatory requirements, which types of commodities the carrier is capable of transporting, and its overall level of interest in doing business with DOE.

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Attachment M **Carrier Close-Out Letter (Example)**

Name (carrier)
Address
City, State, Zip

Name of Carrier Point of Contact:

On behalf of the U.S. Department of Energy (DOE) National Transportation Program-Albuquerque (NTP-A), the Motor Carrier Evaluation Program (MCEP) would like to thank (carrier name) for your cooperation in the recent evaluation.

(Company name) has been (approved/not approved) by the evaluation team as a carrier of DOE-owned hazardous materials. Any concern(s) the evaluation team had regarding your operation are listed in the space below. Please respond to these concerns, if any, to the evaluation team member whose name also is provided below.

OBSERVATIONS/CONCERNS:¹

(Include a bulleted list or state "None identified.")

We sincerely appreciate the time and effort spent by (company name) during the evaluation process. We are very much aware of the effort put forth on our behalf. If you have any questions or require further information, please call (name of person) at (AC-phone number), or write to (name of person, company, and address).

Sincerely,

(Signature and Title)

¹ *Observations are those areas (such as "best management practices") that the evaluation team has identified as having a potential for improvement. Concerns are those areas (such as "required regulatory compliance") that the evaluation team has identified as needing improvement.*